



IAPD Report

KATHRYN ALETHE HALL

CRD# 1611653

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Please be aware that fraudsters may link to Investment Adviser Public Disclosure from phishing and similar scam websites, trying to steal your personal information or your money. Make sure you know who you're dealing with when investing, and contact FINRA with any concerns.

For more information read our [investor alert](#) on imposters.



IAPD Information About Representatives

IAPD offers information on all current-and many former representatives. Investors are strongly encouraged to use IAPD to check the background of representatives before deciding to conduct, or continue to conduct, business with them.

What is included in a IAPD report?

IAPD reports for individual representatives include information such as employment history, professional qualifications, disciplinary actions, criminal convictions, civil judgments and arbitration awards.

It is important to note that the information contained in an IAPD report may include pending actions or allegations that may be contested, unresolved or unproven. In the end, these actions or allegations may be resolved in favor of the representative, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

Where did this information come from?

The information contained in IAPD comes from the Investment Adviser Registration Depository (IARD) and FINRA's Central Registration Depository, or CRD, (see more on CRD below) and is a combination of:

- information the states require representatives and firms to submit as part of the registration and licensing process, and
- information that state regulators report regarding disciplinary actions or allegations against representatives.

How current is this information?

Generally, representatives are required to update their professional and disciplinary information in IARD within 30 days.

Need help interpreting this report?

For help understanding how to read this report, please consult NASAA's IAPD Tips page <http://www.nasaa.org/IAPD/IARReports.cfm>

What if I want to check the background of an Individual Broker or Brokerage Firm?

To check the background of an Individual Broker or Brokerage firm, you can search for the firm or individual in IAPD. If your search is successful, click on the link provided to view the available licensing and registration information in FINRA's BrokerCheck website.

Are there other resources I can use to check the background of investment professionals?

It is recommended that you learn as much as possible about an individual representative or Investment Adviser firm before deciding to work with them. Your state securities regulator can help you research individuals and certain firms doing business in your state. The contact information for state securities regulators can be found on the website of the North American Securities Administrators Association <http://www.nasaa.org>



Report Summary

KATHRYN ALETHE HALL (CRD# 1611653)

The report summary provides an overview of the representative's professional background and conduct. The information contained in this report has been provided by the representative, investment adviser and/or securities firms, and/or securities regulators as part of the states' investment adviser registration and licensing process. The information contained in this report was last updated by the representative, a previous employing firm, or a securities regulator on **02/24/2023**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	J.P. MORGAN SECURITIES LLC	CRD# 79	04/23/2022
IA	J.P. MORGAN SECURITIES LLC	CRD# 79	05/18/2022

QUALIFICATIONS

This representative is currently registered in **25** SRO(s) and **53** jurisdiction(s).

Is this representative currently Inactive or Suspended with any regulator? **No**

Note: Not all jurisdictions require IAR registration or may have an exemption from registration.

Additional information including this individual's qualification examinations and professional designations is available in the Detailed Report.

REGISTRATION HISTORY

This representative was previously registered with the following firm(s):

	FIRM	CRD#	LOCATION	REGISTRATION DATES
B	INTERNATIONAL ASSETS ADVISORY, LLC	10645	PONTE VEDRA BEACH, FL	04/17/2009 - 07/06/2011
IA	SUNTRUST INVESTMENT SERVICES, INC.	17499	JACKSONVILLE, FL	04/05/2006 - 04/25/2007
B	SUNTRUST INVESTMENT SERVICES, INC.	17499	JACKSONVILLE, FL	09/08/2000 - 04/25/2007

For additional registration and employment history details as reported by the individual, refer to the Registration and Employment History section of the Detailed Report.

DISCLOSURE INFORMATION

Disclosure events include certain criminal charges and convictions, formal investigations and disciplinary actions initiated by regulators, customer disputes and arbitrations, and financial disclosures such as bankruptcies and unpaid judgments or liens.

Are there events disclosed about this representative?

No



Qualifications

REGISTRATIONS

This section provides the SRO, states and U.S. territories in which the representative is currently registered and licensed, the category of each registration, and the date on which the registration becomes effective. This section also provides, for each firm with which the representative is currently employed, the address of each location where the representative works. This individual is currently registered with **53** jurisdiction(s) and 25 SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **J.P. MORGAN SECURITIES LLC**

Main Address: 383 MADISON AVENUE
NEW YORK, NY 10179

Firm ID#: 79

	Regulator	Registration	Status	Date
B	BOX Exchange LLC	General Securities Representative	Approved	04/23/2022
B	Cboe BYX Exchange, Inc.	General Securities Representative	Approved	04/23/2022
B	Cboe BZX Exchange, Inc.	General Securities Representative	Approved	04/23/2022
B	Cboe C2 Exchange, Inc.	General Securities Representative	Approved	04/23/2022
B	Cboe EDGA Exchange, Inc.	General Securities Representative	Approved	04/23/2022
B	Cboe EDGX Exchange, Inc.	General Securities Representative	Approved	04/23/2022
B	Cboe Exchange, Inc.	General Securities Representative	Approved	04/23/2022
B	FINRA	General Securities Representative	Approved	04/23/2022
B	Investors' Exchange LLC	General Securities Representative	Approved	04/23/2022
B	Long-Term Stock Exchange, Inc.	General Securities Representative	Approved	04/23/2022
B	MEMX LLC	General Securities Representative	Approved	04/23/2022
B	MIAX Emerald, LLC	General Securities Representative	Approved	04/23/2022
B	MIAX PEARL, LLC	General Securities Representative	Approved	04/23/2022



Qualifications

Regulator	Registration	Status	Date
B Miami International Securities Exchange, LLC	General Securities Representative	Approved	04/23/2022
B NYSE American LLC	General Securities Representative	Approved	04/23/2022
B NYSE Arca, Inc.	General Securities Representative	Approved	04/23/2022
B NYSE Chicago, Inc.	General Securities Representative	Approved	04/23/2022
B NYSE National, Inc.	General Securities Representative	Approved	04/23/2022
B Nasdaq BX, Inc.	General Securities Representative	Approved	04/23/2022
B Nasdaq GEMX, LLC	General Securities Representative	Approved	04/23/2022
B Nasdaq ISE, LLC	General Securities Representative	Approved	04/23/2022
B Nasdaq MRX, LLC	General Securities Representative	Approved	04/23/2022
B Nasdaq PHLX LLC	General Securities Representative	Approved	04/23/2022
B Nasdaq Stock Market	General Securities Representative	Approved	04/23/2022
B New York Stock Exchange	General Securities Representative	Approved	04/23/2022
B Alabama	Agent	Approved	04/29/2022
B Alaska	Agent	Approved	04/29/2022
B Arizona	Agent	Approved	05/04/2022
B Arkansas	Agent	Approved	04/29/2022
B California	Agent	Approved	04/29/2022
B Colorado	Agent	Approved	04/23/2022



Qualifications

	Regulator	Registration	Status	Date
B	Connecticut	Agent	Approved	04/25/2022
B	Delaware	Agent	Approved	04/29/2022
B	District of Columbia	Agent	Approved	04/23/2022
B	Florida	Agent	Approved	04/23/2022
IA	Florida	Investment Adviser Representative	Approved	05/18/2022
B	Georgia	Agent	Approved	04/29/2022
B	Hawaii	Agent	Approved	04/29/2022
B	Idaho	Agent	Approved	04/26/2022
B	Illinois	Agent	Approved	04/29/2022
B	Indiana	Agent	Approved	04/29/2022
B	Iowa	Agent	Approved	04/29/2022
B	Kansas	Agent	Approved	04/29/2022
B	Kentucky	Agent	Approved	04/29/2022
B	Louisiana	Agent	Approved	04/23/2022
B	Maine	Agent	Approved	04/29/2022
B	Maryland	Agent	Approved	04/23/2022
B	Massachusetts	Agent	Approved	04/29/2022
B	Michigan	Agent	Approved	04/29/2022
B	Minnesota	Agent	Approved	04/29/2022



Qualifications

	Regulator	Registration	Status	Date
B	Mississippi	Agent	Approved	04/29/2022
B	Missouri	Agent	Approved	04/29/2022
B	Montana	Agent	Approved	04/29/2022
B	Nebraska	Agent	Approved	04/29/2022
B	Nevada	Agent	Approved	04/29/2022
B	New Hampshire	Agent	Approved	04/29/2022
B	New Jersey	Agent	Approved	04/29/2022
B	New Mexico	Agent	Approved	04/29/2022
B	New York	Agent	Approved	04/29/2022
B	North Carolina	Agent	Approved	04/29/2022
B	North Dakota	Agent	Approved	04/29/2022
B	Ohio	Agent	Approved	05/01/2022
B	Oklahoma	Agent	Approved	04/29/2022
B	Oregon	Agent	Approved	04/29/2022
B	Pennsylvania	Agent	Approved	04/29/2022
B	Puerto Rico	Agent	Approved	04/23/2022
B	Rhode Island	Agent	Approved	04/29/2022
B	South Carolina	Agent	Approved	04/29/2022
B	South Dakota	Agent	Approved	04/29/2022



Qualifications

	Regulator	Registration	Status	Date
B	Tennessee	Agent	Approved	04/29/2022
B	Texas	Agent	Approved	04/29/2022
IA	Texas	Investment Adviser Representative	Approved	11/16/2022
B	Utah	Agent	Approved	04/29/2022
B	Vermont	Agent	Approved	04/29/2022
B	Virgin Islands	Agent	Approved	04/29/2022
B	Virginia	Agent	Approved	04/29/2022
B	Washington	Agent	Approved	04/29/2022
B	West Virginia	Agent	Approved	04/29/2022
B	Wisconsin	Agent	Approved	04/29/2022
B	Wyoming	Agent	Approved	04/29/2022

Branch Office Locations

J.P. MORGAN SECURITIES LLC

7301 Baymeadows Way
Jacksonville, FL 32256



Qualifications



PASSED INDUSTRY EXAMS

This section includes all industry exams that the representative has passed. Under limited circumstances, a representative may attain registration after receiving an exam waiver based on a combination of exams the representative has passed and qualifying work experience. Likewise a new exam requirement may be grandfathered based on a representative's specific qualifying work experience. Exam waivers and grandfathering are not included below.

This individual has passed 0 principal/supervisory exams, 4 general industry/product exams, and 2 state securities law exams.

Principal/Supervisory Exams

Exam	Category	Date
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No information reported.

General Industry/Product Exams

Exam	Category	Date
B General Securities Representative Examination (S7TO)	Series 7TO	04/22/2022
B Securities Industry Essentials Examination (SIE)	SIE	04/05/2022
B General Securities Representative Examination (S7)	Series 7	04/03/2006
B Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	03/07/1994

State Securities Law Exams

Exam	Category	Date
IA B Uniform Combined State Law Examination (S66)	Series 66	04/29/2022
B Uniform Securities Agent State Law Examination (S63)	Series 63	03/09/1994



PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **0** professional designation(s).

No information reported.



Registration & Employment History

PREVIOUSLY REGISTERED WITH THE FOLLOWING FIRMS

This representative held registrations with the following firms:

	Registration Dates	Firm Name	ID#	Branch Location
B	04/17/2009 - 07/06/2011	INTERNATIONAL ASSETS ADVISORY, LLC	CRD# 10645	PONTE VEDRA BEACH,
IA	04/05/2006 - 04/25/2007	SUNTRUST INVESTMENT SERVICES, INC.	CRD# 17499	JACKSONVILLE, FL
B	09/08/2000 - 04/25/2007	SUNTRUST INVESTMENT SERVICES, INC.	CRD# 17499	JACKSONVILLE, FL
B	03/08/1994 - 07/11/2000	FIRST UNION BROKERAGE SERVICES, INC.	CRD# 8112	CHARLOTTE, NC
B	11/17/1988 - 05/25/1990	FLORIDA NATIONAL INVESTMENT SERVICES, INC.	CRD# 16979	
B	10/14/1988 - 10/31/1988	INTERSTATE SECURITIES CORPORATION	CRD# 431	
B	09/19/1988 - 10/14/1988	JOHNSON, LANE, SPACE, SMITH & CO., INC.	CRD# 472	
B	10/21/1987 - 08/17/1988	PAINWEBBER INCORPORATED	CRD# 8174	

EMPLOYMENT HISTORY

Below is the representative's employment history for up to the last 10 years.

Employment Dates	Employer Name	Position	Investment Related	Employer Location
03/2022 - Present	J.P. MORGAN SECURITIES LLC	SC Banker	Y	Jacksonville, FL, United States
03/2022 - Present	JPMORGAN CHASE BANK, N.A.	SC Banker	Y	Jacksonville, FL, United States
09/2017 - Present	Beaches Habitat for Humanity, Inc.	Employee/Contractor	N	ATLANTIC BEACH, FL, United States
02/2022 - 02/2022	Unemployed	Unemployed	N	Jacksonville Beach, FL, United States
01/2009 - 01/2022	SEASIDE BANK	CLIENT ADVISOR	Y	PONTE VEDRA BEACH, FL, United States



Registration & Employment History



OTHER BUSINESS ACTIVITIES

This section includes information, if any, as provided by the representative regarding other business activities the representative is currently engaged in either as a proprietor, partner, officer, director, employee, trustee, agent, or otherwise. This section does not include non-investment related activity that is exclusively charitable, civic, religious, or fraternal and is recognized as tax exempt.

Entity Name: Beaches Habitat for Humanity, Inc.

Investment related: No

"Address: 797 MAYPORT ROAD ATLANTIC BEACH, FL 32233 www.BeachesHabitat.org #65-0234544"

Nature of the other business: Community Service

Position/Title/Relationship: Employee/Contractor

Start Date: 09/27/2017

Approximate # of hours a month: 0-10

Approximate # of hours during securities trading hours: 0

Briefly describe your duties: Beaches Habitat for Humanity is a Christian housing organization dedicated to the vision of a world where everyone has a decent place to live. Through shelter, we empower. Beaches Habitat for Humanity is a 501(C)(3) nonprofit organization.



End of Report

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